

PATENT APPLICATION

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Takahiro KISHIOKA et al.

Group Art Unit:

Application No.: 10/520,461

Examiner:

Filed: January 7, 2005

Docket No.: 122364

For: COMPOSITION FOR FORMING ANTI-REFLECTIVE COATING

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

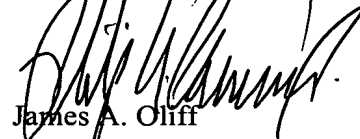
Sir:

Pursuant to 37 CFR §1.56, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO-1449. Unless otherwise indicated herein, one copy of each reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date of this non-CPA application, OR (b) before the mailing date of a first Office Action on the merits in the present application. No certification or fee is required.
- ☒ 2. Relevance of the non-English language references 1-2; 8-9 and 17-19 are discussed in the present specification.
- ☒ 3. The references 3-4 and 10-16 were cited in the International Search Report. An English language version of the International Search Report is attached for the Examiner's information.
- ☒ 4. In accordance with 37 CFR §1.98(a)(2)(ii), copies of any U.S. patents and patent application publications are not attached.
- ☒ 5. English language Abstracts of the non-English language references 8-15 are attached hereto.
- ☒ 6. A computer-generated English language translation of the following Japanese Patent Publication has been obtained from the website of the Japanese Patent Office ([<http://www.jpo.go.jp>]), and is attached, but has not been reviewed for accuracy. See References 8-15.

- ☒ 7. English language reference 5 corresponds with non-English language reference 8.
- ☒ 8. English language reference 6 corresponds with non-English language reference 9.
- ☒ 9. English language reference 7 corresponds with non-English language reference 11.

Respectfully submitted,



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Philip A. Caramanica, Jr.  
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JAO:PAC/mps

Date: April 20, 2005

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**DEPOSIT ACCOUNT USE  
AUTHORIZATION**

Please grant any extension  
necessary for entry;  
Charge any fee due to our  
Deposit Account No. 15-0461

FORM PTO-1390  
(REV. 01-2003)

US DEPARTMENT OF COMMERCE PATENT &amp; TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER  
122364TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371U.S. APPLICATION NO. (If known, see 37 CFR 1.5)  
10/520,461INTERNATIONAL APPLICATION NO.  
PCT/JP03/08832INTERNATIONAL FILING DATE  
July 11, 2003PRIORITY DATE CLAIMED  
July 17, 2002TITLE OF INVENTION  
COMPOSITION FOR FORMING ANTI-REFLECTIVE COATINGAPPLICANTS FOR DO/EO/US  
Takahiro KISHIOKA et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
  - c. ☐ The International Application was filed in English.
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5) 10/520,461		INTERNATIONAL APPLICATION NO. PCT/JP03/08832		ATTORNEY'S DOCKET NUMBER 122	
21. <input type="checkbox"/> The following fees are submitted:				<b>CALCULATIONS</b> <b>PTO USE ONLY</b>	
<b>BASIC NATIONAL FEE (37 CFR 1.492(a)):</b> ..... \$ 300.00				\$	
<b>SEARCH FEE (37 CFR 1.492(b)(1)-(3)):</b>				\$	
International search fee (37 CFR 1.445(a)(2)) paid to USPTO as ISA..... \$ 100.00					
International search report provided to USPTO no later than the time at which the search fee is paid ..... \$ 400.00					
All situations not provided for above..... \$ 500.00					
<b>EXAMINATION FEE (37 CFR 1.492(c)(1)-(2)):</b>				\$	
International preliminary examination report prepared by the USPTO as IPEA and favorable as to novelty, inventive step, and industrial applicability for all claims presented in the application entering the national stage ..... \$ 100.00					
All situations not provided for above..... \$ 200.00					
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
TOTAL PAGES OF APPLICATION OVER 100 ( - 100)	÷ 50	= †	x 250 =	\$	
†round up to next integer					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
TOTAL CLAIMS	- 20	=	x 50.00 =	\$	
INDEPENDENT CLAIMS	- 3	=	x 200.00 =	\$	
MULTIPLE DEPENDENT CLAIM(S)(if applicable)			+ 360.00 =	\$	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
<b>SUBTOTAL =</b>				\$	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
<b>TOTAL NATIONAL FEE =</b>				\$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$	
<b>TOTAL FEES ENCLOSED =</b>				\$	
				Amount to be refunded:	\$
				charged:	\$
a. <input type="checkbox"/> Check No.      in the amount of \$      to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No.      in the amount of \$      to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>15-0461</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.					
<b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO: OLIFF & BERRIDGE, PLC Customer Number: 25944					
Date <u>April 20, 2005</u>				NAME: <u>James A. Oliff</u> REGISTRATION NUMBER: <u>27,075</u>	
				NAME: <u>Philip A. Caramanica, Jr.</u> REGISTRATION NUMBER: <u>51,528</u>	

Form PTO-1449 (REV. 8-83)		US Dept. of Commerce PATENT & TRADEMARK OFFICE		ATTY DOCKET NO. 122364		APPLICATION NO. 10/520,461	
INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)				APPLICANTS Takahiro KISHIOKA et al.			
				FILING DATE January 7, 2005		GROUP	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	
	1	US 5,919,599	7/6/1999	MEADOR et al.			
	2	US 5,693,691	12/2/1997	FLAIM et al.			
	3	US 6,083,665	7/4/2000	SATO et al.			
	4	US 6,090,531	7/18/2000	MIZUTANI et al.			
	5	US 6,544,717 B2	4/8/2003	HIROSAKI et al.			
	6	US 6,284,428 B1	9/4/2001	HIROSAKI et al.			
	7	US 2001/0049072 A1	12/6/2001	HIROSAKI et al.			
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	
	8	JP A 2000-221689 w/ ab & trl	8/11/2001	JAPAN			
	9	JP A 2000-284491 w/ ab & trl	10/13/2000	JAPAN			
	10	JP A 2002-148791 w/ ab & trl	5/22/2002	JAPAN			
	11	JP A 2000-221690 w/ ab & trl	8/11/2000	JAPAN			
	12	JP A 2001-5186 w/ ab & trl	1/12/2001	JAPAN			
	13	JP A 11-84673 w/ ab & trl	3/26/1999	JAPAN			
	14	JP A 2000-010293 w/ ab & trl	1/14/2000	JAPAN			
	15	JP A 10-333336 w/ ab & trl	12/18/1998	JAPAN			
	16	WO 02/069046 A1	2/20/2002	WIPO			
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)							
	17	LYNCH et al., "Properties and Performance of Near UV Reflectivity Control Layers," <i>Proceedings of SPIE</i> , vol. 2195, pp. 225-229 {1994}					
	18	TAYLOR et al., "Methacrylate Resists and Antireflective Coatings for 193 nm Lithography," <i>Proceedings of SPIE</i> , vol. 3678, pp. 174-185 {March 1999}					
	19	MEADOR et al., "Recent Progress in 193 nm Antireflective Coatings," <i>Proceedings of SPIE</i> , vol. 3678, pp. 800-809 {March 1999}					
EXAMINER					DATE CONSIDERED		
Examiner: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

Date: April 20, 2005